

Appendix M
Protocol to Address Missed Requirements in
Great Lakes National Program Office Assistance Agreements

Protocol to Address Missed Requirements in GLNPO Assistance Agreements

Although most recipients of GLNPO funding comply with requirements of grants, cooperative agreements, and inter-agency agreements (collectively, Assistance Agreements), some do not. This written protocol addresses the failure of recipients to provide Quality System Documentation, Final Reports, and Progress Reports, in order that Project Officers will know how and when to engage the various tools at their disposal, GLNPO grants personnel will know when to become involved, and GLNPO management will know when to become involved. This protocol provides a general framework to address these issues, recognizing that the individual project officer still is in the best position to exercise judgment to address Assistance Agreement issues with recipients.

	Problem - Quality System Documentation Not Provided								
Day¹	Action	P O	QA Mgr	PBT Ldr	Br Chief	AssistSpec / Chief	GLNPO Director	RMD Director	Explanation
45	Contact Recipient	x							PO calls and e-mails. QA Manager calibrates database.
60	Contact Recipient.	x							PO calls/e-mails. Must talk with recipient, not just voice-mail.
90	- Tele-conference. - Delinquency Notice to PO	x	x						PO and QA manager talk with recipient, following up w/e-mail.
97	cc of Delinquency Notice to Branch Chief	x	x		x				PO convenes meeting. Branch Chief calls counterpart w/recipient organization. PO follows up w/e-mail.
127	Stage 2 Delinquency Notice to Branch Chief	x	x	x	x	x			PO convenes meeting w/ Assistance Section to discuss options. Follow up briefing of GLNPO Director.

¹# Days after the award is made. The time period would be adjusted if data collection is to occur before the 90th day after an award is made, or if grantee is cooperating.

	Problem - Quality System Documentation Not Provided								
134	Letter to Grantee from GLNPO Director.	x	x	x	x				Lay out consequences. After 30 days, suspend payments and make no new GLNPO awards. Debarment and suspension and withdrawal of funds 2 weeks later. QA plan must be approved in advance of future awards for two year period.
164	Teleconference. GLNPO Suspension via letter from GLNPO Director.	x	x	x	x				GLNPO Director notifies recipient verbally and in writing. PO and Assistance Section notify Finance to withhold payments.
178	Teleconference. Debarment & Suspension via letter and phone call. Withdraw funds.	x		x	x	x	x	x	